

NASA Headquarters
Washington, DC 20546

HQOWI-1400-R005D

December 20, 2000

Aero-Space Technology Strategic Enterprise (HQ/Code R)

Office Work Instruction

Agency Policy Formulation and Approval

CHECK THE MASTER LIST at

<http://hqiso9000.hq.nasa.gov/>

VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

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DOCUMENT HISTORY LOG

<u>Status</u> (<u>Draft/</u> <u>Baseline/</u> <u>Revision/</u> <u>Canceled</u>)	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		2/2/1999	
Revision	A	4/21/1999	Added "Routing Slip" and "Quality Control Liaison" to paragraph 3 Definitions. Added NPG 1441.1C "Records Retention Schedule" to paragraph 4 Reference Documents. Revised flowchart to include actionee in each process symbol, corrected step numbering error duplicating steps 6.15 and 6.16. Changed media versions of outputs to match controlled version in paragraph 7 Quality Records. Corrected/revised output documents at step 6.3.9. Retitled "RO" column in paragraph 6 to read "Actionee," revised column entries to more clearly identify individual responsible for performing task. Revised paragraph 6 procedure text to better define criteria for acceptable workmanship. Added draft and final draft directives, Code R-concurred ADS, Consolidated Comments, and Routing Slips to paragraph 7 Quality Records. Changed owner, location, media, retention, and disposition of remaining quality records to recognize the practice of maintaining backup paper copies of electronic documents. Changed format of Quality Records table to conform to version "A" of HCP 1400-1.
Revision	B	8/12/1999	Changed #1410 from HQOWI # on front cover to #1400 as it is noted in HQOWI header to reflect more accurately scope. Defined electronic control and electronic concurrence control per NCR 331 and made appropriate references in work instruction text. Revised flowchart to ensure that flowchart tracks more closely with work instruction text. Revised procedure text to give more specific guidance on the setting of action item due dates. Added an Appendix B, "Template for Disposition of Comments."
Revision	C	6/7/2000	Ensure text, flowchart and quality records all have identical wording.
Revision	D	12/20/2000	Change the location of Quality Records from DM to JM per request of Code J Associate Administrator

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- 1. PURPOSE** The purpose of this process is to establish and define the steps to be followed when the Aero-Space Technology Strategic Enterprise (HQ/R) has been requested to formulate, coordinate, approve, and promulgate Agency-wide policy or provide comments on an Agency-wide policy action.
- 2. SCOPE and APPLICABILITY**
 - 2.1** This OWI includes any Agency-wide NPDs, NPGs, and NPCs for which Code R has been designated as the lead organization or for which Code R has been asked to provide comments.
 - 2.2** This OWI is applicable to all Code R organizations.
- 3. DEFINITIONS**

ADS	Action Document Summary, NASA Form 117—Form for all single letter codes to concur on the NASA On-line Directives Information System (NODIS).
AO	Action Officer --the individual who prepares draft NPDs, NPGs, or NPCs and submits them for processing.
AA	Associate Administrator -- an approving official in charge for Code R.
Code JM	The designation for the Management Assessment Division, Office of Management Systems and Facilities.
DM	Directive Manager --The employee within Code RS who manages the coordination effort and processes NPDs, NPGs, or NPCs for review and approval.
Directives	NASA documents, including NPDs, NPGs, and NPCs maintained on NODIS.

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DD	Division Director --The individual who reviews and recommends concurrence/non-concurrence on external directives to the Deputy Associate Administrator.
DAA	Deputy Associate Administrator--Enterprise approving official in charge (OIC) for Code R.
Electronic Document Concurrence	The DM is authorized to register electronic concurrence by accessing that portion of the NODIS designated for OIC approval. The DM then uses an electronic password that provides access to concur electronically for the OIC. All other individuals can gain access to review the document using read-only format.
Electronic Document Control	The DM or AO authorized to make document revisions gains access to the NODIS using an electronic password. The password gives the DM or AO access to make the required revisions. All other personnel can gain access to review the document using read-only format.
Form 26	Routing slip – Form to control routing actions through Division Directors for their initials.
Form 184	NASA Directive Request Summary --the starting point on NODIS to begin building a new/revised policy directive.
NASA Directive Review Form Report	--a location where the single letter codes post their comments and where the originator responds to comments.
NODIS	NASA On-line Directives Information System -- a repository of NASA directives, executive orders and parts of Title 14, Code of Federal Regulations.

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NPD	NASA Policy Directive -- describes the “what” required by NASA management to achieve NASA’s vision and mission (as depicted in the NASA Strategic Plan).
NPG	NASA Procedures and Guidelines -- the detailed instructions and guidelines for implementing NASA policy. They are the “how to” instructions and procedures considered essential for accomplishing the deliverable requirements established by the NPD.
QCL	Quality Control Liaison – the person reviewing draft documents to ensure final document conforms with the Printing Office Manual and NASA Correspondence Management Standards.
OIC	Official in Charge—Agency approving official.

4. **REFERENCE DOCUMENTS**

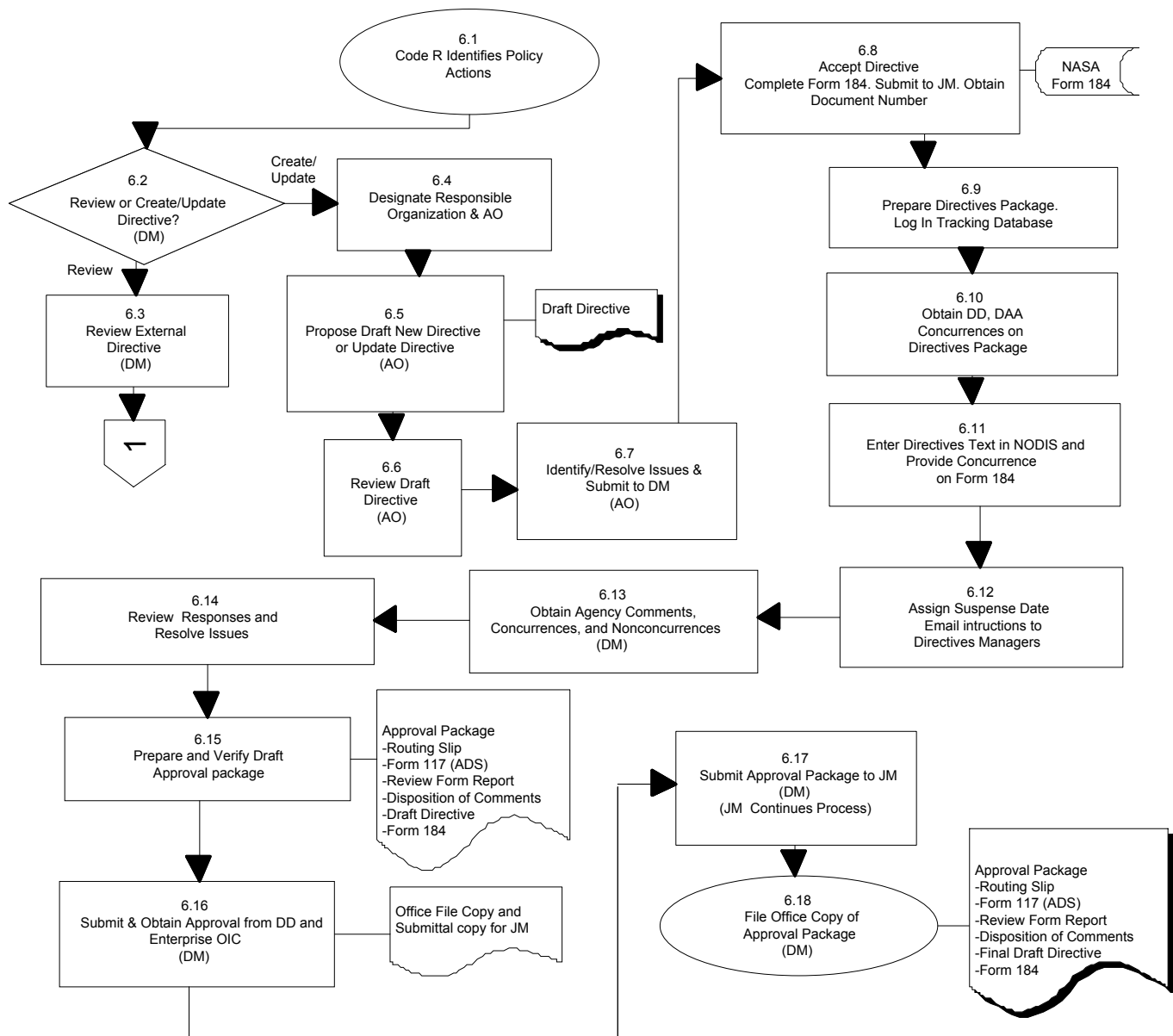
NPD 1000.1A	NASA Strategic Plan
NPG 1000.2	NASA Strategic Management Handbook
NHB 1101.3	The NASA Organization
NPG 1400.1	NASA Directives Systems
NPG 1441.1C	Records and Retention Schedules
NPD 7120.4A	Program/Project Management
NPG 7120.5A	NASA Program and Project Management Processes and Requirements
Code J Memo, February 5, 1998, Subject: Directive Review Cycle – Concurrence Policy	
The correct version of the NPD, NPG, NHB documents cited above may be obtained from the NODIS Directives Library at http://nodis.hq.nasa.gov/Library/processes.html .	

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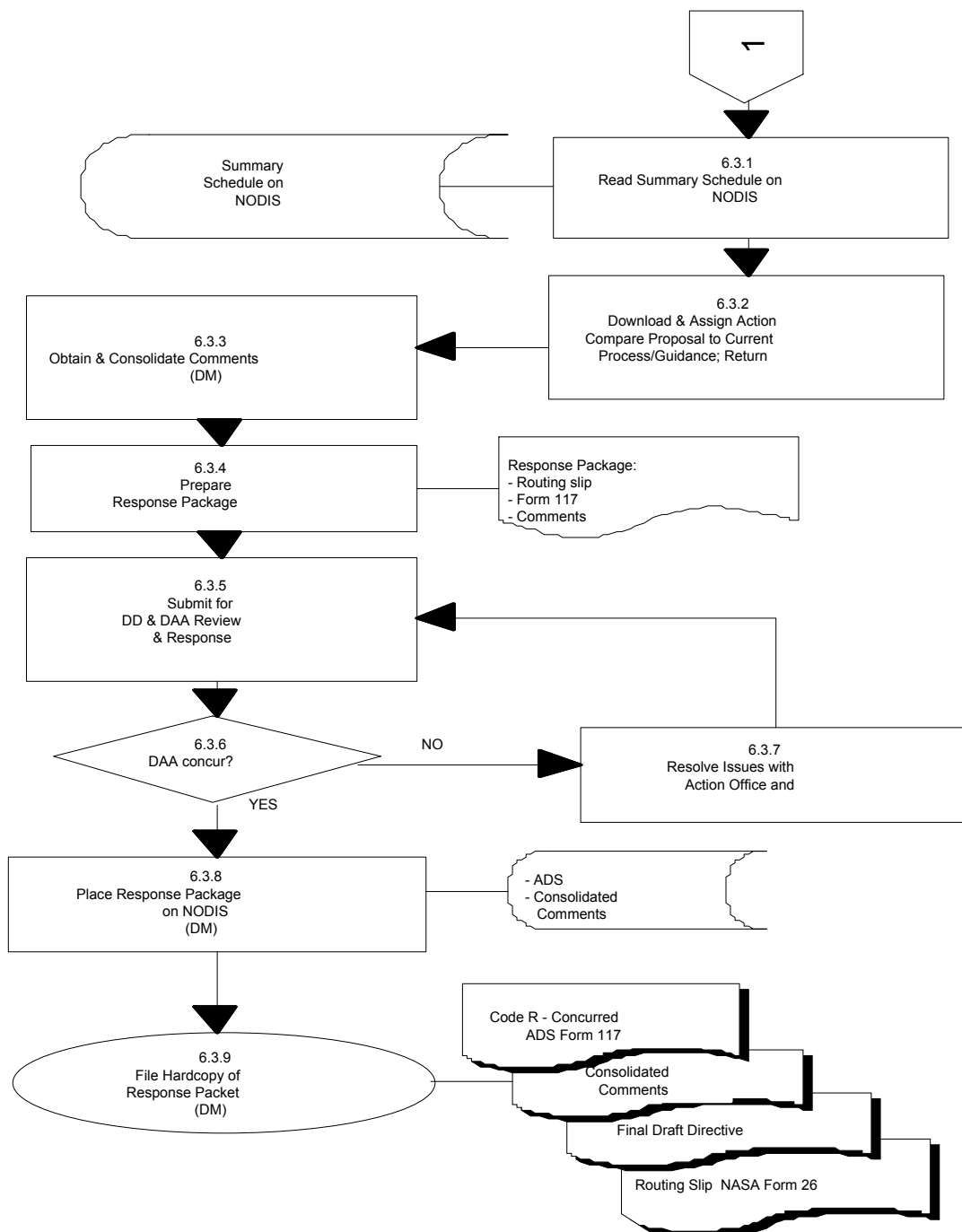
5. FLOWCHART



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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1	DAA or Designee	Determine whether a policy action is needed. This will occur if Code R (1) is requested to comment on an external policy directive or (2) has identified a need for a new or updated policy directive. An external policy request will be posted on NODIS in the monthly Summary Schedule. Internally, any office within Code R can identify a need to create and/or update a policy directive. This may include a new NPD, handbook guidance; updates to existing NPDs, NPGs, and handbooks; or a combination of both.
6.2	DM	If action is to review an external document, go to step 6.3. If the requirement is to create or update an existing document, the action proceeds to step 6.4.
6.3	DM	If Code R is to review an external policy directive, follow steps 6.3.1 through 6.3.9.
6.3.1	DM	The first activity is to read the summary schedule on NODIS for external directives.
6.3.2	DM/AO	Download from NODIS, assign due dates, and e-mail with instructions to the Centers' DM. Ensure that due dates are assigned to allow for adequate time to consolidate comments and process the action for concurrence to meet Code: JM's deadlines. (30 days for NPD's and 60 days for NPG's). Log into internal tracking system. Provide hard copy with tracking sheet to OAT directors with a request for AO designation. (DM follows status through periodic phone calls.) AO compares draft directives to current procedure / guidelines and returns comments.
6.3.3	DM	Obtain and consolidate Code R and Centers' comments.
6.3.4	DM	Prepare response package. This includes the routing slip (Form 26), ADS, and the consolidated comments. Also part of the preparation process, provide AO a copy of the packet for final review and concurrence before submittal to DD / DAA.

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| 6.3.5 | DM | Submit through the DD to DAA for review and concurrence, or non-concurrence. Prepare routing slip and submit package to the approving authority. (Minimum addressees are the DD, and DAA. Both have the authority to add addressees.) |
| 6.3.6 | DD
DAA | Code R DD and DAA either concur or do not concur. If non-concur, action goes to step 6.3.7; if concur, proceed to 6.3.8. |
| 6.3.7 | DM | If approving officials do not concur, send action back to AO with guidance to resolve outstanding issues. After issues are resolved, resubmit through DD to DAA. |
| 6.3.8 | DM | If approving officials concur, place consolidated comments and concurrence electronically into NODIS in accordance with NODIS electronic format and established electronic concurrence and document control as defined in Section 3. |
| 6.3.9 | DM | File hardcopy of approved ADS, consolidated comments, routing slip and draft directive. |
| 6.4 | AA
DD | If the requirement is to create or update a policy under Code R jurisdiction, the first step is for the AA to designate a Responsible Division (can be verbal). The DD then designates an AO to direct and manage the agency policy formulation/review process. A supporting team may be organized and will usually include representatives from the Code R centers. In addition, the team may also include non-Code R members. Based on the complexity of the issues under review, the DD, assisted by the AO, determines the need for (and composition of) a supporting team. |
| 6.5 | AO | Propose draft of new or updated directive(s). The AO and the supporting team develop a draft of the new and/or updated directive(s). The draft is prepared according to NPG 1400.1 guidance for development and reviews. The AO convenes and conducts the supporting teamwork to achieve this draft based upon experience, expertise and any necessary clarifying verbal guidance from management. |
| 6.6 | AO | Review draft policy for compliance with NPG 1400.1 guidelines. Identify and resolve any major issues prior to officially entering the NODIS review process. It is up to the AO to determine the extent and process for conducting this informal review step. |

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| 6.7 | AO | Identify/resolve issues and submit to DM. The end product of this step is a draft directive(s) that is ready for submission to the formal NODIS process. The AO submits the proposed directive(s) in MS Word format to DM for processing by e-mail. |
| 6.8 | DM | Accept directive. The DM reviews the directive(s) for format completeness in accordance with NPG 1400.1 guidelines. If the directive is complete, the DM electronically fills out a NASA Directive Summary (Form 184) and assigns subject classification number. Submit the form to Code JM through NODIS. Receive notice of acceptance from JM to continue building the directive or the need to resolve issues prior to acceptance. |
| 6.9 | DM | Prepare Code R action package (also called directives package) according to NPG 1400.1 guidelines. Log and track draft directive in the internal tracking system. Prepare routing slip and submit the action package through the DD to the DAA for review and concurrence. (Minimum addressees on the routing slip are the DD and DAA. Both have the authority to add addressees.) |
| 6.10 | DD, DAA, DM | Obtain DD, DAA concurrence on directives package. DAA reviews draft directives package and approves Form 184 (hardcopy) giving authority for continued processing using established electronic concurrence procedures.. If DD or DAA have comments prior to approval, the DM resolves the issues and resubmits the action package for concurrence. Upon DAA approval the package is returned to DM to continue processing by concurring on the electronic version of Form 184. |
| 6.11 | DM | Enter directive(s) text electronically in NODIS using established electronic document control as defined in Section 3. This allows JM to post the directive on the Monthly Review Schedule for Agency review. |

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| 6.12 | DM | Prepare an e-mail assigning suspense date and directing review of the draft policy to OAT Center DMs and Headquarters DMs. Ensure that due dates are assigned to allow for adequate time to Disposition Comments and process action for concurrence to meet Code: JM's deadlines. (30 days for NPD's and 60 days for NPG's). E-mail address list is the same as addresses on the electronic version of Form 184 (item 13 – Recommended Coordination List). |
| 6.13 | DM | Obtain Agency comments and concurrence / non-concurrence on Form 117. Addressees use electronic Form 117 to provide concurrence/non-concurrence and enter comments on electronic NASA Directive Review Format Report. (Code G concurrence will be obtained directly by Code JM.) Monitor comments and concurrence status through NODIS. (Guidance on processing and milestones are found in Code J memo, February 5, 1998, Subject: Directive Review Cycle – Concurrence Policy.) |
| 6.14 | AO | AO accesses NODIS for comments on NASA Directive Review Format Report. Contact late responders. Review all comments, and resolve issues, as required. If a non-concurrence is entered, coordinate with the originator to resolve the issue. Issues not resolved at AO level are raised to management (verbally first, then follow management guidance). The originator of a comment must provide instructions detailing the required modifications necessary to reach agreement. If changes are required, the AO updates the directive in NODIS. Once all comments are entered, prepare "Disposition of Comments" according to guidelines in NPG 1400.1. Enter responses on the Disposition of Comments document for each entry. |
| 6.15 | DM/
DAA | Prepare and verify approval package. This package includes an updated draft of the directive, directive review form report, the approved Form 184, Disposition of Comments document, and ADS (Form 117) for the Enterprise OIC approval. (Previous versions of the draft directive are destroyed.) |

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- 6.16** DM Submit approval package. Prepare routing slip (template at Appendix A) and submit package through the AO, through the QCL, through the DD, to the DAA to review. (Minimum addressees are the AO, QCL, DD, and DAA. DD and DAA have the authority to add addressees.) Obtain concurrence. DAA approves package and returns it to DM to concur using established electronic concurrence procedures.
- 6.17** DM Submit Approval Package to Code JM to continue processing for the Agency OIC approval. As part of the process, DM resolved any issues arising from Agency correspondence control review of the package. (If this is an NPG, submit a copy on diskette along with the package.) The process is completed by Code JM posting the approved documents on NODIS.
- 6.18** DM File a back-up office hardcopy file of the approval package (Routing slip, Disposition of Comments, Form 117, NASA Directive Review Form Report, Final Draft Directive, and Form 184).

7. QUALITY RECORDS

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Media</u>	<u>Schedule Number and Item Number</u>	<u>Retention/ Disposition</u>
Approval Package	RS	JM	Hardcopy	Schedule I, Item 12.B.2	Retain 2 years then Destroy
Code R-Concurred ADS (Form 117) (For external reviews)	RS	JM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 Years then Destroy
Consolidated Comments (For external reviews)	RS	JM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 Years then Destroy
Draft Directive (For external reviews)	RS	JM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 Years then Destroy
Final Draft Directive	RS	JM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 Years then Destroy

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Routing Slip (NASA Form 26)	RS	JM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 Years then Destroy
NASA Directive Summary, NASA Form 184	RS	JM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 Years then Destroy
NASA Action Document Summary, NASA Form 117	RS	JM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 Years then Destroy
NASA Directive Review Form Report	RS	JM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 Years then Destroy
Disposition of Comments	RS	JM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 Years then Destroy

Appendix A – NASA Form 26 (Routing Slip) Template for HQOWI-1400-R005B

Appendix B—Template for Disposition of Comments

(The correct version of Appendices A and B may be obtained at
 <<http://ctd.hq.nasa.gov/iso9000/astdocs/>>)